

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</small>	Attorney Docket No. BERKEY 47-9-6B	Total Pages 2
First Named Inventor or Application Identifier: Berkey et al.		
Title : PROJECTION LITHOGRAPHY PHOTOMASKS AND METHOD OF MAKING		
Express Mail Label No.		EV 327189626 US

CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450

on December 10, 2003
(Date)

Signature Colleen E. Doherty
Colleen E. Doherty

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1. ☒ * Fee Transmittal Form
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 51]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☐ Drawing(s) (35 U.S.C. § 113) [Total Sheets 25]
4. Oath or Declaration [Total Pages 2]
 - a. ☐ Executed (original or copy)
 - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☒ Other: Limited Recognition Under 37 CFR 10.9(b)

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
- ☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09/935990, filed August 23, 2001
- Prior application information: Examiner: **Stephen D. Rosasco** Group / Art Unit: **1756**
- For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **22928** or ☐ Correspondence address below

NAME					
ADDRESS	Corning Incorporated, SP-TI-3-1				
CITY	Corning	STATE	NY	ZIP CODE	14831
COUNTRY	USA	TELEPHONE	607-248-1253	FAX	(607) 974-3848
Name (Print/Type)	Steven Chen		Registration No. (Attorney/Agent)		
Signature	<u>Steven Chen</u>		Date	<u>December 10, 2003</u>	

FEE TRANSMITTAL for FY 2003

TOTAL AMOUNT OF PAYMENT (\$770.00)
Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Berkey, et al.
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket Number	Berkey 47B

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

 Deposit
Account
Number

03-3325

 Deposit
Account
Name

Corning Incorporated

- ☒ Charge Any Additional Fees Required
Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION
1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	Utility filing fee	770.00
1002	340	Design filing fee	
1003	530	Plant filing fee	
1004	770	Reissue filing fee	
1005	160	Provisional filing fee	

SUBTOTAL (1) (\$770.00)
2. EXTRA CLAIM FEES

	Extra	Fee from		Fee Paid
Total Claims	11	- 20** =	x 18 =	00.00
Independent Claims	2	- 3** =	x 86 =	00.00
Multiple Dependent			0 =	0.00

**or number previously paid, if greater; For Reissues, see below

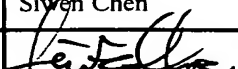
Large Entity Fee Code	Fee (\$)	Fee Description
1202	18	Claims in excess of 20
1201	86	Independent claims in excess of 3
1203	290	Multiple dependent claim, if not paid 0
1204	86	** Reissue independent claims over original patent
1205	18	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$00.00)
FEE CALCULATION (continued)
3. ADDITIONAL FEES

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	Surcharge - late filing fee or oath	
1052	50	Surcharge - late provisional filing fee or cover sheet	
1053	130	Non-English specification	
1812	2,520	For filing a request for reexamination	
1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840	Requesting publication of SIR after Examiner action	
1251	110	Extension for reply within first month	
1252	420	Extension for reply within second month	
1253	950	Extension for reply within third month	
1254	1,480	Extension for reply within fourth month	
1255	2,010	Extension for reply within fifth month	
1401	330	Notice of Appeal	
1402	330	Filing a brief in support of an appeal	
1403	290	Request for oral hearing	
1451	1,510	Petition to institute a public use proceeding	
1452	110	Petition to revive - unavoidable	
1453	1,330	Petition to revive - unintentional	
1501	1,330	Utility issue fee (or reissue)	
1502	480	Design issue fee	
1503	640	Plant issue fee	
1460	130	Petitions to the Commissioner	
1807	50	Petitions related to provisional applications	
1806	180	Submission of Information Disclosure Stmt	
8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	Filing a submission after final rejection (37 C.F.R. § 1.129(a))	
1810	770	For each additional invention to be examined (37 C.F.R. § 1.129(b))	
1801	770	Request for Continued Examination (RCE)	
1802	900	Request for expedited examination of a design application	

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$)**

SUBMITTED BY
Completed (if applicable)

Name (Print/Type)	Siyen Chen	Registration No. (Attorney/Agent)	
Signature		Date	December 10, 2003

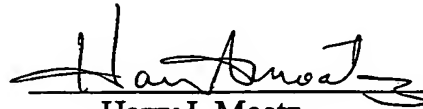
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE
UNITED STATE PATENT AND TRADEMARK OFFICE**

LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

Siwen Chen is hereby given limited recognition under 37 CFR § 10.9(b) as an employee of Corning Incorporated to prepare and prosecute patent applications in which (i) Corning Incorporated is the assignee of all right, title and interest in the invention claimed in the application; (ii) a wholly-owned subsidiary of Corning Incorporated is the assignee of all right, title and interest in the invention claimed in the application; or (iii) a joint venture of Corning Incorporated is the assignee of all right, title and interest in the invention claimed in the application. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Siwen Chen ceases to lawfully reside in the United States, (ii) Siwen Chen's employment with Corning Incorporated ceases or is terminated, or (iii) Siwen Chen ceases to remain or reside in the United States on an H-1 visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: February 20, 2004



Harry I. Moatz

Director of Enrollment and Discipline